

# Appendix N

## Fixed Income Committee

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The Fixed Income Committee is composed of member firm representatives. The committee advises and makes recommendations to FINRA about regulatory initiatives, rules and policies and public policy issues involving debt securities, including municipal securities and municipal advisory activity. The committee addresses a broad range of issues concerning fixed income transactions, fixed income market participants, transaction reporting, transparency and pricing, suitability, advertising and disclosure, debt mark-ups and commissions, conflicts of interest, debt research, and training and supervision of persons engaged in debt securities business activities.

### Committee Members:

Vivian Altman  
Janney Montgomery Scott LLC

Jacqueline Beauprez  
D.A. Davidson Companies

Cathy Bell  
Stern Brothers & Co.

Mark Borrelli  
Huntington Securities, Inc.

Joanna Brody  
Piper Sandler & Co.

A. Brad Busscher  
InspereX LLC

Merlin Elsner  
Multi-Bank Securities, Inc.

Johanna Frebes  
Keybanc Capital Markets Inc.

Gary Hall  
Siebert Williams Shank & Co., LLC

Chris Kendall  
Charles Schwab & Co. Inc.

Robert Lewis III  
PMA Securities, LLC

Marjan Quadir  
Citigroup Capital Markets Inc.

### FINRA Staff Liaisons:

Cynthia Friedlander  
Adam Kezsbom

Membership effective June 1, 2022

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